

2164  
#7  
BT  
10-7-02  
CF-012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Patent Pending  
Oct 04 2002  
SEARCHED

Applicants : Stewart Harris et al.  
Application No. : 09/755,591 Confirmation No.: 3838  
Filed : January 5, 2001  
For : SYSTEMS AND METHODS FOR MONITORING CREDIT OF TRADING COUNTERPARTIES  
Group Art Unit : 2164  
Examiner : To be Assigned

RECEIVED  
OCT 03 2002

GROUP 3600

Hon. Commissioner for Patents  
P.O. Box 2327  
Arlington, Virginia 22202

Sir:

Transmitted herewith is a Supplemental Information Disclosure Statement in the above-identified application. This Statement is submitted:

- [ ] within three months of the application filing date;  
 [X] more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this

Supplemental Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

Jeff C. Aldridge

Jeffrey C. Aldridge  
Registration No. 51,390  
Agent for Applicants  
FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000

I Herby Certify that this  
Correspondance is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an envelope  
Addressed to:  
COMMISSIONER FOR  
PATENTS P.O. Box 2327  
ARLINGTON, VA 22202 on Sept. 25, 2002

COPY TO: I. SAWYER - via facsimile  
J. Aldridge  
Signature of Person Signing



CF-012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Stewart Harris et al.  
Application No. : 09/755,591 Confirmation No.: 3838  
Filed : January 5, 2001  
For : SYSTEMS AND METHODS FOR MONITORING  
CREDIT OF TRADING COUNTERPARTIES  
Group Art Unit : 2164  
Examiner : To be Assigned

RECEIVED

OCT 03 2002

GROUP 3600

Hon. Commissioner for Patents  
P.O. Box 2327  
Arlington, Virginia 22202

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following reference:

FOREIGN PATENTS

0 873 549 B1

EPO

(10/28/98)

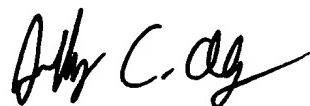
A copy of the aforementioned reference, which is  
listed on the accompanying Form PTO-1449 (submitted in  
duplicate), is enclosed herewith.

It is respectfully requested that this reference be:  
(1) fully considered by the Patent and Trademark Office during

the examination of this application; and (2) printed on any patent which may issue on this application. Applicants request that a copy of the Form PTO-1449, as considered and initialized by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

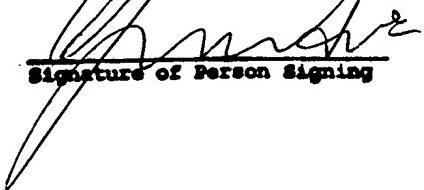


---

Jeffrey C. Aldridge  
Registration No. 51,390  
Agent for Applicants  
FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000

I hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to:  
COMMISSIONER FOR  
PATENTS P.O. BOX 2327  
ARLINGTON, VA 22202 on Sept 25, 2002

CLYDE J. STANWIX - your good name

  
Signature of Person Signing